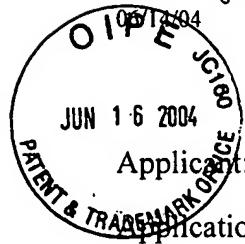


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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Samson Mil'shtein, Peter Ersland, Shivarajiv Kumar Somisetty and Carlos Gil  
Application No.: 10/729,426 Group: 2811  
Filed: December 5, 2003 Examiner: Not assigned  
Confirmation No.: 8407  
For: MULTI-GATE HETEROSTRUCTURED FIELD EFFECT TRANSISTOR

CERTIFICATE OF MAILING OR TRANSMISSION	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as First Class Mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, or is being facsimile transmitted to the United States Patent and Trademark Office on:	
Date 6-14-04	Signature Jane Morgan
Typed or printed name of person signing certificate JANE MORGAN	

INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or  
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or  
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either:  
☐ a Statement under 37 CFR 1.97(e), as checked below, or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:  
☐ a Statement under 37 CFR 1.97(e), as checked below, and  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):  
Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.  
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
  - ☒ Copies of the cited references (AL-AN and AR-AT) are enclosed.
    - ☒ Since this application was filed after June 30, 2003, copies of issued U.S. patents and published U.S. applications are not required and are not being provided.
  - ☐ Copies of the cited references are enclosed except those entered in prior application, U.S. Application No. [ ], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
  - ☒ The listed references (AL-AN and AR-AT) were cited in the enclosed International Search Report in a counterpart foreign application.
  - ☒ The "concise explanation" requirement (non-English reference) for reference (AN) under 37 CFR 1.98(a)(3) is satisfied by:
    - ☐ the explanation provided on the attached sheet.
    - ☐ the explanation provided in the Specification.
    - ☒ submission of the enclosed International Search Report.
    - ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
    - ☒ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:

Examiner's  
Initials

\_\_\_\_\_ U.S. Patent Application No. [    ], by [inventor(s)], filed [    ], Docket No.: [    ]

\_\_\_\_\_ U.S. Patent Application No. [    ], by [inventor(s)], filed [    ], Docket No.: [    ]

\_\_\_\_\_ U.S. Patent Application No. [    ], by [inventor(s)], filed [    ], Docket No.: [    ]

\_\_\_\_\_  
Examiner

\_\_\_\_\_  
Date

☐ A copy of each above-cited application, including the current claims, is enclosed.

☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [    ], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.

☐ Please charge Deposit Account 08-0380 in the amount of \$[    ]. A copy of this Statement is enclosed.

☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By \_\_\_\_\_

N. Scott Pierce  
Registration No.: 34,900  
Telephone: (978) 341-0036  
Facsimile: (978) 341-0136

Concord, MA 01742-9133

Dated: 6/14/04

PTO-1449 REPRODUCED

ATTORNEY DOCKET NO.  
0813.2003-001APPLICATION NO.  
10/729,426INFORMATION DISCLOSURE CITATION  
IN AN APPLICATION

June 10, 2004

(Use several sheets if necessary)

FIRST NAMED INVENTOR  
Samson Mil'shteinFILING DATE  
December 5, 2003EXAMINER  
Not assignedCONFIRMATION NO.  
8407GROUP  
2811

## U.S. PATENT DOCUMENTS

EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT
	AA	6,037,830	03-14-2000	Mil'shtein <i>et al.</i>
	AB			
	AC			
	AD			
	AE			
	AF			
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	AH			
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	AC3			

EXAMINER

DATE CONSIDERED

PTO-1449 REPRODUCED  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <b>June 10, 2004</b>  (Use several sheets if necessary)	ATTORNEY DOCKET NO. <b>0813.2003-001</b>	APPLICATION NO. <b>10/729,426</b>	
	FIRST NAMED INVENTOR <b>Samson Mil'shtein</b>		FILING DATE <b>December 5, 2003</b>
	EXAMINER <b>Not assigned</b>	CONFIRMATION NO. <b>8407</b>	GROUP <b>2811</b>

FOREIGN PATENT DOCUMENTS						
		DOCUMENT NUMBER Country Code-Number-Kind Code (if known)	DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT	TRANSLATION YES NO	
<input checked="" type="checkbox"/>	AL	WO 90/07795	07-12-1990	Regents of the University of Minnesota		
<input checked="" type="checkbox"/>	AM	EP O 735 593 A1	10-02-1996	Murata Manufacturing Co., Ltd.		
<input checked="" type="checkbox"/>	AN	FR 2 550 889 A1	02-22-1985	Thompson-CSF		X
<input type="checkbox"/>	AO					
<input type="checkbox"/>	AP					
<input type="checkbox"/>	AQ					
<input type="checkbox"/>	AL2					
<input type="checkbox"/>	AM2					
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EXAMINER	DATE CONSIDERED
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PTO-1449 REPRODUCED  <b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b>  <b>June 10, 2004</b>  (Use several sheets if necessary)	ATTORNEY DOCKET NO. <b>0813.2003-001</b>		APPLICATION NO. <b>10/729,426</b>	
	FIRST NAMED INVENTOR <b>Samson Mil'shtein</b>		FILING DATE <b>December 5, 2003</b>	
	EXAMINER <b>Not assigned</b>		CONFIRMATION NO. <b>8407</b>	GROUP <b>2811</b>

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
✓	AR	Bolognesi, C.R. and Chow, D. H., "InAs/AlSb Dual-Gate HFET's," <i>IEEE Electron Device Letters</i> 17(11):534-536 (1996).
✓	AS	Ismail, K., <i>et al.</i> , "Surface-Superlattice Effects in a Grating-gate GaAs/GaAlAs Modulation Doped Field-Effect Transistor," <i>Appl. Phys. Lett.</i> 52(13):1071-1073 (1988).
✓	AT	Boos, J.B., <i>et al.</i> , "Reduction of Gate Current in AlSb/InAs HEMTs Using a Dual-Gate Design," <i>Electronics Letters</i> 32(17):1624-1625 (1996).
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EXAMINER	DATE CONSIDERED
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